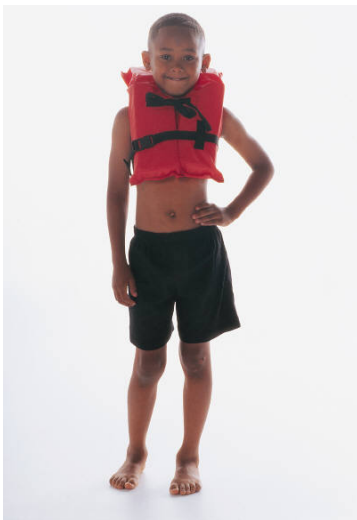


CA Contract Review



Children's Administration
Washington State Department of Social and Health Services
August 2005

Purpose (Cathy Wiggins/Dana Phelps)

The purpose of the effort to review Contracts of Children's Administration is to:

- ***Provide management information:*** describe what purpose each Contract serves
- ***Perform analysis of Contract:*** determine how closely the Contract structure conforms to the goals of Children's Administration
- ***Perform analysis of Contract execution:***
 - Determine the level of operational consistency of the Contract in the regions
 - Determine how the execution of the Contract affects our business partners
- ***Identify areas needing improvement:*** identify areas needing improvement to move contracted service closer toward stated goals
- ***Outline process for improvement:*** indicate the process needed to develop final recommendations to improve contracted services to children and families

Method (Cathy/Dana)

For each category of Contract (Alternative Response, Family Reconciliation Services, Crisis Residential Services, etc.), the team is responsible to provide the information requested. The program manager serves as team lead. When reviewing custom Contracts, a field representative will serve as co-lead. Staff from the fiscal and contract units, as well as the field, will be assigned to each team.

The team will be responsible for reading the Contract(s), the Statement(s) of Work (SOW) and budget. The program manager does not necessarily gather all of the necessary information. Other members of the team will gather information for some items. The program manager will compile all of the information for a team review. The team should work to obtain majority acceptance of the information that has been compiled. All members of the team will provide their signature to indicate their participation in the review. Each member may also include comments next to their signature, if desired. Comments may highlight areas where complete agreement was not reached. The final information will then be used to complete the Contacts Matrix.

Stage One of the Contract review process will culminate with a list of issues/areas needing improvement and a plan to develop final recommendations to accomplish the improvements. Items that the plan should address include, where applicable:

- Who will be involved in developing the final recommendations (i.e. Children's Administration staff, other DSHS staff, providers, associations, stakeholder groups, and children and their families)?
- Are there any needs for sustainability, such as training for staff (for example, helping staff interpret and/or evaluate the contract)?
- What items will be discussed with which groups or individuals?

- What items are negotiable with providers or other stakeholders?
- What items are not negotiable and will be determined by the department?
- What performance measures are providers already measuring and reporting?
- What services might be offered by the service providers that can be targeted to meet client needs, in addition to the services listed in the Contract under review?
- Who determines, and how is it determined, which service(s) the child/family will receive from the contractor?
- How are the final decisions going to be reached?
- The timeline for completion of the plan (two part plan before November 1, 2005 and before May 1, 2006).

If you need help answering a question in this review, please call for consultation or assistance. At the beginning of each section there is a name of the primary contact for those items.

General Information (Priscilla Wolfe)

This is to be completed by the team lead/co-leads.

☐ Pre-approved Contract

If checked, list the number of Contracts: ____

List the type of service contracted: ____

☐ Custom Contract

List the type of service contracted: ____

List which of the seven Region(s) is impacted by this Contract: (six regions, plus HQ) ____

Name(s) of Custom Contract	Contract #

Overview Information

Contract Area and Key Events (Cathy/Dana)

This analysis is to be completed by the team lead/co-leads with input from the team.

Indicate below which areas are the focus of the intervention services of the Contract:

Contract	Primary Purpose of this Contract (check only one)	Other Purposes of this Contract (can check more than one)
Safety		
Referral	<input type="checkbox"/>	<input type="checkbox"/>
Protection	<input type="checkbox"/>	<input type="checkbox"/>
Permanency		
Placement Prevention	<input type="checkbox"/>	<input type="checkbox"/>
Appropriate Placements	<input type="checkbox"/>	<input type="checkbox"/>
Permanency Planning	<input type="checkbox"/>	<input type="checkbox"/>
After Care	<input type="checkbox"/>	<input type="checkbox"/>
Well Being		
Meeting Child's Needs	<input type="checkbox"/>	<input type="checkbox"/>

Comments (if necessary): ____

- **Consistency of Primary Purpose** (Deb Kime, Cathy/Dana)

- Do the activities under the Contract match the purpose of the funding stream?
Yes ☐ No ☐
- Do the SOW and Contract Exhibits reflect the primary purpose(s) of the Contract?
(H/M/L) ____
 - High** - The primary purpose(s) within the Contract, SOW, and Contract Exhibits are closely aligned.
 - Medium** - The primary purpose(s) within the Contract, SOW, and Contract Exhibits could be more closely aligned.
 - Low** - The primary purpose(s) within the Contract, SOW, and Contract Exhibits are not closely aligned.
- If low or medium, provide an explanation: ____
- Indicate the steps and timeframe necessary to develop a final recommendation for improvement: ____

Level of Expenditures (Deb Kime)

This is to be completed by fiscal and/or contract members of the team.

This information is to be developed for each region and is to represent:

- Expenditures - the "expenditure" information is to represent the annual data from fiscal year 2004-2005.
- Clients - the "number of clients" information is to represent (with the best information available) the number of clients from fiscal year 2004-2005. In calculating the number of clients, please consider the family as one client if the service is a family service. Also, if a client began and completed a service and then received the same service a second time in the same year, please count the client twice.

For each region, specify:

Region	The total of expenditures for this Contract category (ex BRS, FPS, etc):	Percent of regional budget spent on this service	The number of clients served by this Contract category:	Average cost per client
Region 1	\$			\$
Region 2	\$			\$
Region 3	\$			\$
Region 4	\$			\$
Region 5	\$			\$
Region 6	\$			\$
Region 7 (HQ)	\$			\$
Total	\$			\$

Comments (if necessary):

KCF II Items involved (Heidi Brownell)

This is to be completed by the team lead/co-leads.

Specify which KCF II Items are associated w/ the Contract. This will ensure that the Contract initiative efforts are integrated with the KCF II efforts.

KCF II #	Name

Comments (if necessary): ____

Statute or Proviso (Cathy/Dana)

This is to be completed by the team lead/co-leads.

- Have the services of the Contract been directed by Statute or Proviso?
Statute ☐ Proviso ☐
- If checked, provide a copy of the Statute or Proviso involved. Confirm the attachment below:
 - Is a copy of the Statute or Proviso attached? Yes ☐ No ☐
 - If no, provide an explanation: ____

Contract Evaluation Information

Contract Maturity Level

Contract Maturity Level consists of:

- *Type of Contract* and its quality level within that type.
- The *controls* are a part of the Contract and the quality level of those controls.

Type of Contract (Dana)

This is to be completed by the team lead/co-leads.

- Does the Contract allow the provider to adjust to a variety of needs for diverse populations? Yes ☐ No ☐
- Please provide supporting detail for your answer: ____

Define the Contract type (choose only one):

- ***Output Requirements Contract:*** (H/M/L) ____
 - **High** - outputs of the provider (# of clients served, or trainings conducted) are reported as part of payment process
 - **Medium** - outputs of the provider are defined by the Contract, but not reported as part of the payment process
 - **Low** - outputs of the provider are not defined or reported

- ***Performance-Based Contract:*** (H/M/L) ____
 A Performance-Based Contract is one in which there are well defined outcomes (for clients, staff, or the administration) that are reported regularly and are tied in some way to the provider payment or the continuation of the Contract.

Defined outcomes are tied to the expected impact of the program and are usually reported for each individual and also in the aggregate for all clients served by the contractor.

For example, a provider Contract may identify the outcome of the service to be a documented reduction of placement disruption. Accomplishment of the outcome is determined by examining the placement disruption of all clients served by the provider in comparison to the previous year or in comparison to a statewide average. Level of payment to the provider is tiered and based upon accomplishment of the outcome (increased if the outcome is met.)

Measurement of the maturity of this category of Contract is by:

- **High** - Performance-based outcomes are defined in the Contract, are reported regularly as defined in the Contract, and are tied to the payment to the provider or the continuation of the Contract
- **Medium** - Performance-Based outcomes are defined and reported, but are not tied to the payment to the provider or the continuation of the Contract
- **Low** - Performance-based outcomes are defined, but reporting is only on outputs

• ***Evidence-Based Contract:*** (H/M/L) ____

Evidence-Based Contract is one in which the provider is paid to provide a model service or program that has been defined in research literature as effective in addressing the need of the client served*.

For example, a provider may be paid for foster care services that are provided using the Multidimensional Treatment Foster Care model developed by the Oregon Social Learning Center.

Measurement of the maturity of this category of Contract is by:

- **High** - The services required in the Contract are a model program that is well documented as effective in research (two or more research studies). A requirement to comply with the model is articulated in the Contract, and there is a defined process to measure fidelity to the model.
- **Medium** - The services required in the Contract are for a model program that is well documented as effective in research (two or more research studies). The requirement to comply with the model program is not articulated in the Contract, or there is not a defined process to measure fidelity to the model.
- **Low** - the services in the Contract are for a model program that has only one documented study of its effectiveness in research literature, and a requirement to comply with the model is articulated in the Contract, and there is a defined process to measure fidelity to the model; or the Contract is for a model program that is well documented as effective in research, but the Contract does not require compliance to the model and does not define a process to measure fidelity to the model.

* Studies in research literature must follow a design that contains a study and control group or study and comparison group. The study must also have a sufficient sample size that outcomes can be considered statistically significant.

- Are you aware of an Evidence-Based Practice service or program similar to the services provided for by this Contract? Yes ☐ No ☐
- If yes, please list: ____

Contract Controls

This analysis is to be completed by the team.

- ***Vendor qualifications (Cathy/Dana)***

- Are vendor qualifications (training/licensing) detailed in the Contract? Yes ☐ No ☐
- Are vendor qualifications required by RCW or WAC? Yes ☐ No ☐
 - Please list statute or WAC citation: _____
- Are the qualifications appropriate for the services provided? (H/M/L) _____
 - High** - the vendor qualifications are appropriate for the services provided.
 - Medium** - the vendor qualifications could be improved.
 - Low** - the vendor qualifications are not appropriate for the services provided.
- If low or medium, provide an explanation: _____
- Indicate the steps and timeframe necessary to develop a final recommendation for improvement: _____

- ***Payment/Rate Structure (Deb)***

- Is the payment structure appropriate for the services rendered, cost effective for DSHS, and clearly stated in the Contract? (H/M/L) _____
 - High** - all three of the criteria are met.
 - Medium** - two of the three criteria are met. a payment structure is somewhat articulated, but could be improved.
 - Low** - one of the criteria are met.
- Please give an explanation for this rating. At a minimum, please consider the following issues in your analysis: _____
 - Is payment made through:
 - An A-19? Yes ☐ No ☐
 - If yes, is monthly payment represented by $\frac{1}{12}$ of Contract value? Yes ☐ No ☐
 - Are there additional Contract monitoring activities to ensure cost effectiveness? Yes ☐ No ☐
 - SSPS? Yes ☐ No ☐
 - What is the rate structure? (Ex. slots, hourly, monthly, per child, pay point for service, etc.) _____
 - Administrative Costs
 - Are "add-on" (administrative or indirect) costs above 10%? Yes ☐ No ☐
 - If yes, provide an explanation: _____
 - Other items: _____

- Rate Structure
 - Is there a variable rate structure dependent on client's need? Yes ☐ No ☐
 - Is the total payment for service based on an objective tool? Yes ☐ No ☐
 - Should the rate structure be improved? Yes ☐ No ☐
 - If yes, provide an explanation: ____
 - Indicate the steps and timeframe necessary to develop a final recommendation for improvement: ____

The following analysis is to be completed by the team lead/co-leads.

- ***Quality Control (Contract Monitoring) Process (Cathy/Dana)***
 - Is a Quality Control process defined? (H/M/L) ____
 - High** - There is a well-defined process for Quality Control including review of service quality.
 - Medium** - Process is partially defined and could be improved.
 - Low** - There is no process defined. (E.g. the service provider sends in the bill for payment, there is no review of service.)
 - If low or medium, provide an explanation: ____
 - Does the Quality Control Process need to be improved? Yes ☐ No ☐
 - If yes, provide an explanation: ____
 - If yes, Indicate the steps and timeframe necessary to develop a final recommendation for improvement: ____

Improvement Level of Effort (Cathy/Dana)

This analysis is to be completed by the team lead/co-leads. Levels of effort and expenditure are expected to be estimates.

- ***Output Requirements Contract Improvement***
 - Define the level of effort and funding needed to achieve a higher performing Output Requirement Contract. This is independent of the Regional Consistency of administering the Contract.
 - ☐ **None** - no effort or funding is needed.
 - ☐ **Low** - improvement could occur within 3 months and 100 person hours of effort and with less than \$10,000/Contract. Describe any effort or expenditure that may be needed: ____
 - ☐ **Medium** - improvement could occur within 6 months and 300 person hours of effort and with less than \$50,000/Contract. Describe any effort or expenditure that may be needed: ____
 - ☐ **High** - improvement will take more than 6 months and 300 person hours and more than \$50,000/Contract. Describe any effort or expenditure that may be needed: ____

- ***Performance-Based Contract Improvement (including migration from Output requirements)***
 - Define the level of effort and funding needed to achieve a high performing Performance-Based Contract. This is independent of the Regional Consistency of administering the Contract.
 - ☐ **None** - no effort or funding is needed.
 - ☐ **Low** - improvement could occur within 3 months and 100 person hours of effort and with less than \$10,000/Contract. Describe any effort or expenditure that may be needed: ____
 - ☐ **Medium** - improvement could occur within 6 months and 300 person hours of effort and with less than \$50,000/Contract. Describe any effort or expenditure that may be needed: ____
 - ☐ **High** - improvement will take more than 6 months and 300 person hours and more than \$50,000/Contract. Describe any effort or expenditure that may be needed: ____

- ***Performance-Based Contract Migration to Evidence-Based Contract***
 - Define the level of effort and funding needed migrate the existing Performance-Based Contract to an excellent Evidence-Based Contract. This is independent of the Regional Consistency of administering the Contract.
 - ☐ **None** - no effort or funding is needed.

☐ **Low** - improvement could occur within 3 months and 100 person hours of effort and with less than \$10,000/Contract. Describe any effort or expenditure that may be needed: ____

☐ **Medium** - improvement could occur within 6 months and 300 person hours of effort and with less than \$50,000/Contract. Describe level of effort needed: ____

☐ **High** - improvement will take more than 6 months and 300 person hours and more than \$50,000/Contract. Describe the level of effort needed: ____

- ***Evidence-Based Practice Contract Improvement***

- Define the level of effort and funding needed to achieve a high performing Evidence-Based Practice Contract. This is independent of the Regional Consistency of administering the Contract.

☐ **None** - no effort or funding is needed.

☐ **Low** - improvement could occur within 3 months and 100 person hours of effort and with less than \$10,000/Contract. Describe any effort or expenditure that may be needed: ____

☐ **Medium** - improvement could occur within 6 months and 300 person hours of effort and with less than \$50,000/Contract. Describe any effort or expenditure that may be needed: ____

☐ **High** - improvement will take more than 6 months and 300 person hours and more than \$50,000/Contract. Describe any effort or expenditure that may be needed: ____

- ***Additional or Ongoing Expenditures for Improvement***

- In addition to the time and effort of Children's Administration staff, some endeavors of improvement may involve additional or longer-term expenditures in order to make and maintain the improvement needed. For example, there may be expenditures for proprietary forms or information to improve the CMS, consultants may be required, etc. Specify in the appropriate column the estimated expenditures:

Improvement Level	Expenditure Required
Improvement to Output Requirements	\$
Improvement to Performance-Based	\$
Migration from Performance to Evidence-Based Practice	\$
Improvement of the Evidence-Based Practice	\$

- If additional or ongoing expenditure is required, provide an explanation: ____

Regional Consistency (Deb)

This analysis is to be lead by the regional representative(s) on the team. Information for each region impacted by the Contract will be gathered and compiled.

For each region, define the regional consistency in operationalizing the Contract in regard to:

- ***Rates/Payments Variation***

- Indicate the number of regional Contracts that have identical rates/payments:

Region	Number of identical rates/payments:
Region 1	
Region 2	
Region 3	
Region 4	
Region 5	
Region 6	
Region 7 (HQ)	

Comments (if necessary): ____

- Indicate the number of regional Contracts that have non-identical rates/payments:

Region	Number of non-identical rates/payments:
Region 1	
Region 2	
Region 3	
Region 4	
Region 5	
Region 6	
Region 7 (HQ)	

Comments (if necessary): ____

- Per region, list the rate(s) per the Contract:

Region	Rate(s)
Region 1	\$
Region 2	\$
Region 3	\$
Region 4	\$
Region 5	\$
Region 6	\$
Region 7 (HQ)	\$

Comments (if necessary): ____

- Define the level of variation in rates across regions: (H/M/L) ____
 - High**- Rate variation is high. There is > 20% difference between Contracts.
 - Medium** - There is between 10%-20% difference between Contracts.
 - Low** - Rate variation is low. There is < 10% difference between Contracts.
- If low or medium, provide an explanation: ____
- Indicate the steps necessary to develop a final recommendation for improvement: ____

- ***Regional Variance of Expenditures***

This analysis will be completed by the fiscal office based on information provided in the table under the section "Level of Expenditures".

- ***Service Availability***

- In the table below, describe the level of service availability to clients described by this Contract:

Region	Number of counties within the region:	Number of counties in which this service is available:
Region 1	13	
Region 2	7	
Region 3	5	
Region 4	1	
Region 5	2	
Region 6	11	
Region 7 (HQ)		

Comments (if necessary): ____

- Does Service Availability need to be improved? (H/M/L) ____
 - High** - service availability is appropriate for the services provided.
 - Medium** - service availability could be improved.
 - Low** - service availability is not adequate for the services provided.
- If low or medium, provide an explanation: ____
- Indicate the steps and timeframe necessary to develop a final recommendation for improvement: ____

- **Quality Control Process Administered (Cathy/Dana)**

- Is the Quality Control Process that is defined in the Contract carried out? (H/M/L) ____
High - The Quality Control Process ensures services are provided and that services are effective.
Medium - The Quality Control Process ensures services are provided, but does not determine if those services are effective.
Low - The Quality Control Process neither ensures services are provided nor that services are effective.
- If low or medium, provide an explanation: ____
- Indicate the steps and timeframe necessary to develop a final recommendation for improvement: ____

Business Partnership (Cathy/Dana)

The information for this analysis will be collected using a questionnaire, which will be distributed to service providers.

- **Communication**

- Is the service provider satisfied with timeliness of change notifications? Yes ☐ No ☐
- Are communication channels and information sharing effective? Yes ☐ No ☐
- Is there a consistent message regarding expectation for services to clients coming from all levels of Children's Administration? Yes ☐ No ☐
- Does Communication need to be improved? (H/M/L) ____
High - Communication is effective.
Medium - Communication needs some improvement.
Low - Communication is not always effective.
- If low or medium, provide an explanation: ____
- Indicate the steps necessary to develop a final recommendation for improvement: ____

- ***Contract Application***

- Do the contractors understand the terms of the Contract? Yes ☐ No ☐
- Does the Contract accurately describe the actual services provided? Yes ☐ No ☐
- What is the Overall Contract application rating? (H/M/L) ____
High - The Contract application is effective.
Medium - The Contract application needs some improvement.
Low - The Contract should be reviewed and/or updated to ensure effective application.
- If low or medium, provide an explanation: ____
- Indicate the steps necessary to develop a final recommendation for improvement: ____

- ***Predictability of Client Load***

- Are client loads predictable? (H/M/L) ____
High - Client loads are always predictable.
Medium - Client loads are sometimes predictable.
Low - Client loads are never predictable.
- If low or medium, provide an explanation: ____
- Indicate the steps necessary to develop a final recommendation for improvement: ____

- ***Customer Service***

- Are payments usually made within the terms (e.g. payment period) defined in the Contract? Yes ☐ No ☐
- Are Children's Administration staff easily accessible? Yes ☐ No ☐
- Is the service provider(s) satisfied with customer service? (H/M/L) ____
High - Customer service is adequate.
Medium - Customer service needs some improvement.
Low - Customer service is not adequate.
- If low or medium, provide an explanation: ____
- Indicate the steps necessary to develop a final recommendation for improvement: ____
- Does the service provider have any additional information to share that was not requested? Yes ☐ No ☐
 - Please list responses: ____
- Please list any questions the service provider had for us: ____

- **Reporting**

- Performance Measures:

- Does the service provider report on performance measures to other funding sources? Yes ☐ No ☐
- Please list performance measures that are being reported to other funding sources: ____

- List the reports that are required from the service providers and the purpose each report serves:

Report	Purpose

Comments (if necessary):

- Does the Contract allow Children's Administration to hold final payment until receipt of all reports? Yes ☐ No ☐
- Is data from the reports being used to create reports required of Children's Administration? Yes ☐ No ☐
- Is the information collected from the reports useful? (H/M/L) ____
 - High** - Data collected from the reports is currently used for analysis and reporting.
 - Medium** - Data collected from the reports might be used for either analysis or reporting.
 - Low** - Data collected from the reports is not used for analysis or reporting.
- If low or medium, provide an explanation: ____

Final Analysis (Cathy/Dana)

This analysis is to be completed by the team.

- ***Contract Improvement***
 - Are there items that require improvement on this Contract? Yes ☐ No ☐
 - If yes, please list the areas needing improvement, especially those addressed in the sections of this document. _____
- ***Contract Continuation***
 - Are there serious concerns about the continuation of this contracted service?
Yes ☐ No ☐
 - If yes, please list concerns highlighting those items reviewed in this document.

Criteria to be considered:

Connection to the mission of Children's Administration

Connection to the "Back to Basics" principle

Accomplishment of outcomes for children achieved by the contracted service

Cost effectiveness of the contracted service

Contract Review Team Acceptance (Cathy/Dana)

Please provide your signature to indicate your involvement with this effort and any comments you wish to provide.

Team Member	Printed Name	Signature	Comments
Program Manager			
Regional Rep.			
Contracts			
Fiscal			
Add't team member			
Add't team member			

Comments (if necessary): ____

Attachments

In some case, it may be necessary to attach additional information or documentation. If supporting documentation is being submitted with this form, please indicate the name of the attachment and a brief description below:

Attachment	Description